

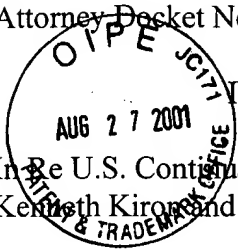
Attorney Docket No. 3001 P 013



26851

PATENT

PATENT TRADEMARK OFFICE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#4

2165

In Re U.S. Continuation Patent Application Of:  
Kenneth Kiron and Kevin Bander

Application No. 09/837,510  
Confirmation No. 8885  
Filed: April 18, 2001

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)  
) Group Art Unit: 2165  
)  
) Examiner:  
)  
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AUG 29 2001  
Group 2100

For: Open End Mutual Fund Securitization Process

Commissioner For Patents  
Washington, D.C. 20231

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))**

Applicant submits herewith Form PTO-1449 and a copy of the references listed thereon.

Since this Information Disclosure Statement is being filed within three months of the filing date of the Application or before the mailing date of a First Office Action on the merits, whichever event occurs last (37 C.F.R. § 1.97(b)), no certification or fee is due. The Commissioner is hereby authorized to charge any deficiency in fees to Deposit Account No. 23-0280. A duplicate copy of this paper is enclosed for that purpose.

Respectfully submitted,

Dated: Aug 22, 2001

By:

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**CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)**

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231 on Aug 23, 2001

Kathleen M. Rundquist/124353.1

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

PTO-1449



W&W File No.: 3001 P 013  
Application No.: 09/837,510  
Applicant: Kiron et al.  
Filing Date: April 18, 2001  
Art Unit: 2165

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**U.S. PATENT DOCUMENTS**

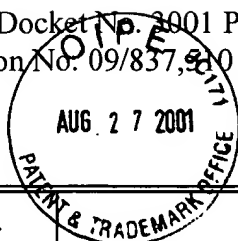
Examiner Initial	U.S. Patent Document No.	Name of Patentee or Applicant	Class/ Subclass	Date of Publication
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**OTHER PRIOR ART OR NON-PATENT LITERATURE DOCUMENTS**


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	SPIR Trust Series 1, Application for Orders Under Section 6(c) of the Investment Company Act of 1940.	
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	Form S-6 (EL24) for registration under the Securities Act of 1933.	



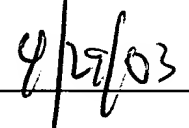
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Examiner Initial	(including Author (in capital letters), Title of the article, Title of the item, Date, Pages, Volume-Issue number, Publisher, City and/or Country where published.)	T
GA	Amendment No. 1 to Form S-6 (EL24A) for registration under the Securities Act of 1933.	
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GA	Hill; "Program Trading of Equities: Renegade or Mainstream?"; <i>Business Horizons</i> ; vol. 32 No. 6; p. 47(9); Nov.-Dec. 1989; Dialog: File 148, Acc# 04165265.	
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Examiner: 

Date

Considered: 

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.